Practitioner's Docket No. 71745/56,434

# IN THE UNITED STATES DESIGNATED OFFICE (DO/US)

PCT/IB00/00219

22 February 2000

22 February 1999

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

TRANSLATION SYSTEM

TITLE OF INVENTION

Fatima GEBAUER, Davide CORONA, Giovanna BERGAMINI, Peter BECKER

and Matthias HENTZE

APPLICANT(S) FOR DO/US

**Box PCT** 

**Assistant Commissioner for Patents** 

Washington, D.C. 20231 ATTENTION: DO/US

# COMPLETION OF FILING REQUIREMENTS FOR INTERNATIONAL APPLICATION ENTERING NATIONAL STAGE IN U.S. DESIGNATED OFFICE (DO/US) UNDER 35 U.S.C. 371

(check and complete the following item, if applicable)

[X] This replies to the Notice of Missing Requirements under 35 U.S.C. § 371 and 37

C.F.R. 1.494 (FORM PCT/DO/EO/905).

[a] A copy of FORM PCT/DO/EO/905 accompanies this response.

**WARNING:** 

Filing requirements, including translation of the international application, the declaration, the national fee and the payment of all the surcharge(s) in connection with the filing of these items after twenty (20) months from the priority may be met within twenty-two (22) months from the priority date. Failure to comply with these requirements Will result in abandonment. The provisions of 37 CFR 1.136 for extensions of time do not apply to the 22 month period. 37 CFR 1.61(b).

#### CERTIFICATION UNDER 37 C.F.R. 1.10\*

(Express Mail label number is mandatory.) (Express Mail certification is optional.)

1 hereby certify that this Completion of Filing Requirements and the papers indicated as being transmitted therewith is being deposited with the United States Postal Service on this date **December 19, 2001**, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number <u>EL 895421025 US</u>, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 2023 I.

Donna M. Tomaso (type or print name of person mailing paper

Signature of person mailing paper

**WARNING:** 

Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

\*WARNING:

Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed these a prior to mailing 27 C. F. P. 1.10(h)

thereon prior to mailing. 37 C.F.R 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56, 439, at 56, 442.

(Completion of Filing Requirements for International Application Entering National Stage in Designated Office (DO/US)
under 35 USC 371--page 1 of 6)

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The completion of the filing requirements within 22 months (instead of 20 months) from the priority date results from the Commissioner exercising his judgment under the authority granted under 35 USC 371(d). The filing receipt will show the actual date of receipt of the last item completing the entry into the national phase. See 37 CFR 1.491 which states: "An international application enters the national stage when the applicant has filed the documents and fees required by 35 USC 371(c) within the periods set forth in § 1.494 and § 1.495."

**WARNING:** 

Where the items being submitted to complete the entry of the international application into the national phase are subsequent to 20 months from the priority date, the application is still considered to be in the international stage. If mailing procedures are utilized to obtain a date, the express mad procedure of 37 CFR 1.10 must be used (because international application papers are not covered by an ordinary certificate of mailing. 37 CFR 1.8(2)(xi).

NOTE: Documents and fees must be clearly identified as a submission to enter the national stage under 35 USC 371. Otherwise, the submission will be considered as being made under 35 USC 111. 37 CFR 1.494(f).

### DECLARATION OR OATH

- I. No original declaration or oath was filed. Enclosed is the original declaration or oath [X]for this application.
- NOTE: For surcharge fee for filing declaration after filing date, complete item IV(2).
- Acceptable minimums in the declaration in an ordinarily filed U.S. application for identification of the specification to which it applies are the name of the inventor and (1) serial number, (2) attorney docket number that was on the application as filed and the filing date, (3) title of the invention and filing date, (4) title of invention and reference to a specification that is attached to the declaration at the time of execution and filed with the declaration, or (5) title of invention and a statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration. If identification (4) is used, it must be accompanied by a statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date. Such a statement must be a verified statement if made by a person not registered to practice before the PTO. Notice of September 12, 1983 (1035 O.G. 3).
- NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 CFR 1.10(c).
- NOTE: 37 CFR 1.41(a) points out that "Full names must be stated, including the family name and at least one given name without abbreviation together with any other given name or initial."

(complete (a) or (b), if applicable)

## Attached is a

(a)	[ ]	Statement by a registered attorney that the application filed in the PTO is the
		application that the inventor executed by signing the declaration.
(b)	[]	Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.
		AMENDMENT

II.	(complete as applicable)								
	[]	An amendn	nent in accordance with 37 C.F.R. § 1.12	21 is attached.					
		[ ] The	e attached amendment cancels claims	inclusively.					

# TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

	III.	[]	applica	nitted herewith, is a English translation of the non-English language international ication papers as originally filed. It is requested that this translation be used as the for examination purposes in the PTO. (See 37 CFR 1.494(b)(2)).				
	NOTE:	For fee for processing a non-English application, complete item IV(4). A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 CFR 1.69(b). Unlike the filing of an ordinary non-English application (37 CFR 1.52(d) the translation of an international application entering the U.S. national phase need not be verified. 37 CFR 1.494(e). If necessary, however, a verified translation may be required. 37 CFR 1.494(e). Moreover, if the English translation is filed within 20 months from the priority date, no processing fee is required.						
•				FEES				
	IV. NOTE:	See 37 C	FR 1.28(a,	<b>)</b> .				
	1.	Fees fo	r claims					
			[ ] [X]	Each independent claim in excess of 3 (37 CFR 1.492(b) \$78.00; Small entity—\$39.00) Each claim in excess of 20		\$		
			[ ]	(37 CFR 1.492(c) - \$18.00; small entity—\$9.00) Multiple dependent claim(s) (37 CFR 1.492(d) - \$260.00; small entity—\$130.00)		\$ <u>18.00</u> \$		
-	2.	Surcha	rge fees [X]	Surcharge set forth in § 1.492(e), for accepting the declaration later than 20 months after the priority date in filing an application in the U.S. as a designated office—\$130.00; small entity—\$65.00		\$ <u>130.00</u>		
	NOTE:	The processing fee in the next item (Number 3) below is not subject to a reduction for small entity status.						
	3.		[ ]	Processing fee set forth in § 1.492(f), for accepta of an English translation later than 20 months aft the priority date—\$130.00		\$		
	7.	[ X ]	Assign	ment (See "ASSIGNMENT COVER SHEET".)		\$ <u>40.00</u>		
12/31/2001 UEDUVIJE	00000060	0991414	9		Total fees	\$188.00		
01 FC:154 02 FC:966	-	13	0.00 OP 8.00 OP					

# SMALL ENTITY STATUS

<b>V.</b> A s	tatemen	t tha	at this	filing is by a sm	all entity					
NOTE:	See 37 CFR 1.28(a).									
	(check and complete applicable items)									
	a.	[	]	is attached.						
		-	,		(original).					
	b. [ ] A separate refund request accompanies this paper.									
	EXTENSION OF TIME									
VI.	(complete (a) or (b), as applicable)									
<b>V 1.</b>	The proceedings herein are for a patent application. The provisions of 37 C.F.R. § 1.1 36(a)									
	(a)	apply.  (a) [ ] Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked out below:								
	Extensi	ion			Fee for over than	Fee for				
	(month				small entity	small entity				
	7									
	[ ] one me			nth	\$ 110.00	\$ 55.00				
	[ ]		o mo		\$ 400.00	\$200.00				
	[ ]				\$ 920.00	\$460.00				
	[ ]	four months			\$1,440.00	\$720.00				
						Fee \$				
If an ad	lditional	ext	ensio	n of time is requi	red, please consider this a peti	tion therefore.				
				(check and	complete the next item, if applicable	)				
[ ] An extension for months has already been secured. The fee paid therefor of \$ is deducted from the total fee due for the total months extension now requested.										
Extension fee due with this request \$										
					or					
	(b)	[ }	<b>(</b> ]	conditional petit	es that no extension of term is ion is being made to provide for y overlooked the need for a per	or the possibility that applicant				

## TOTAL FEE DUE

The to	Comp	letion fee(s)	\$ <u> </u>				
	TOTA	L FEE DUE	\$	i48.00			
PAYMENT OF FEES							
	[X] [ ]	Charge Account No	0	in the amour		·	
: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).							
	A	UTHORIZATION	TO CHAR	GE ADDITION	AL FEES		
IINC.	A		l	andant alaima ta arra	: d a see d b ! a b a d		
V1/VG:	Accurate	ery count claims, especial	ly multiple dep	bendent claims, to avoi	ia unexpectea nign cn	arges.	
"A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 CFR 1.136(a)(3).							
nor will	the payer	be notified of such amo	ounts; amount	s over twenty-five dol			
[X]	may be	e required by this pa					
[X]					fees)		
TE: Because additional fees for excess or multiple dependent claims not paid on filing, or on later presentation, m be paid, or these claims cancelled by amendment prior to the expiration of the time period set for response PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge addiction claim fees, except possibly when dealing with amendments after final action.							
[X] [X]					36(a).		
should i 1.136(a		e made only with the kno is to no avail unless a	wledge that: " "quest or pet	Submission of the app	propriate extension fe	e under 37 CFR	
[]			t or before	mailing of Notice	of Allowance, p	ursuant to 37	
	Fees showing:  "A write requiring petition under so submiss of time submiss."  "Amound nor will requeste [X]  [X]  [X]  [X]  [X]  [X]  [X]  [X]	Complexens Extens TOTA  [X] [ ]  Fees should be iten  A  VING: Accurate  "A written request requiring a petitic petition for extens under § 1.17, or an any concurrent or submission. Submis of time in any con submission." 37 C  "Amounts of twen nor will the payer requested, by cred  [X] The Complexens may be Account [X] 37 C.F  Because additiona be paid, or these of PTO in any notice claim fees, except p  [X] 37 C.F  [X] 37 C.F  NG: While 37 should b 1.136(a) November  [ ] 37 C.F	[X] Enclosed are two c [] Charge Account No A duplicate of this  Fees should be itemized in such a manner the  AUTHORIZATION  MING: Accurately count claims, especiall  "A written request may be submitted in an a requiring a petition for an extension of tipetition for extension of time for the approunder § 1.17, or all required extension of tin any concurrent or future reply requiring submission. Submission of the fee set forth is of time in any concurrent reply requiring submission." 37 CFR 1.136(a)(3).  "Amounts of twenty-five dollars or less will nor will the payer be notified of such amor requested, by credit to a deposit account." 3  [X] The Commissioner is here may be required by this paction Account No. 04-1105  [X] 37 C.F.R. 1.492(a)(2), 1.492  [X] 37 C.F.R. 1.492(b) (present period on these claims cancelled by amen PTO in any notice of fee deficiency (37 CFI claim fees, except possibly when dealing with [X] 37 C.F.R. 1.17 (a)(1)-(5)(extended on the sum of t	Completion fee(s) \$	Completion fee(s) Extension fee (if any)  TOTAL FEE DUE  \$	Completion fee(s) Extension fee (if any)  TOTAL FEE DUE  \$	

(Completion of Filing Requirements for International Application Entering National Stage in Designated Office (DO/US) under 35 USC 371--page 5 of 6)

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application... prior to paying, or at the time of paying... issue fee." From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity

[ ] 37 C.F.R. 1.492(e) and (f) (surcharge fees for filing the declaration and/or an English translation of an international application later than 20 months from the earliest claimed priority date)

**WARNING:** 

It is suggested that you always check this last authorization.

Date: December 19, 2001

Reg. No. 38,227

Cara Z. Lowen

(type or print name of practitioner)

Tel. No.: (617) 517-5523

Dike, Bronstein, Roberts & Cushman, LLP Intellectual Property Practice Group of EDWARDS & ANGELL, LLP.

P.O. Box 9169

P.O. Address

Customer No. 21874

Boston, MA 02209

183022